

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview (All Capital Assets)

**1. Date of Submission:** 2010-03-19 16:33:29

**2. Agency:** 023

**3. Bureau:** 30

**4. Name of this Investment:** Regulatory Information Service Center (ROCIS II)

**5. Unique Project (Investment) Identifier:** 023-30-01-06-01-1060-00

**6. What kind of investment will this be in FY 2011?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

**7. What was the first budget year this investment was submitted to OMB? \***

**8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.**

OMB's Office of Information and Regulatory Affairs (OIRA) and GSA's Regulatory Information Service Center (RISC) are developing and operating a new information system, the RISC/OIRA Consolidated Information System (ROCIS), to support and integrate 3 different but related functions. One module of ROCIS replaced and improved upon the system that was used to compile and publish the semiannual Unified Agenda of Federal Regulatory and Deregulatory Actions from 1999 to 2003. Two additional modules of ROCIS replaced 2 mainframe systems at the Executive Office of the President Data Center, created during the 1980's, that OIRA had used to manage reviews of regulations under Executive Order 12866 and of information collections under the Paperwork Reduction Act. Both of these review processes previously relied on paper submissions by agencies to OIRA. ROCIS converts these two key Executive oversight processes from paper to Internet-based, electronic processes, eliminating large quantities of paperwork. It also provides public access to regulatory information previously unavailable to the public. The old systems were closed down when the corresponding new systems became available for use. ROCIS supports the President's Management Initiative for Expanded Electronic Government. It is a collaborative project that includes multiple agencies, using e-business technologies. ROCIS improves on the functionality of OIRA's old mainframe systems by providing electronic submission of documents from Federal agencies; electronic processing of documents within OIRA and RISC; electronic document management, workflow management, record-keeping and archiving; a single comprehensive database of regulation data (merging of data for EO review and Unified Agenda processing); linkage between regulations and information collections; accessibility to persons with disabilities as required by Section 508; expanded availability of economic data on the benefits and costs of regulations; greater transparency of OIRA's business processes; and interoperability with other Federal agency data systems, including linkage to the governmentwide electronic commenting system for rulemaking (the e-Rulemaking Initiative), which serves all Federal regulatory agencies and the public. Remaining DME includes completing some enhancements to ROCIS that were deferred in order to meet OIRA's schedule needs, plus modernization of some components to keep the system running efficiently and ensure security.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

**9. Did the Agency's Executive/Investment Committee approve this request? \***

a. If "yes," what was the date of this approval? \*

**10. Contact information of Program/Project Manager?**

- Name: \*
- Phone Number: \*
- Email: \*

**11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? \***

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

**12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):**

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

**a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): \***

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

<b>Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES</b> <b>(REPORTED IN MILLIONS)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
NONE											

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? \*

a. If "yes," what is the date? \*

## Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2012	2. Customer Intimacy	*	*	Average OIRA regulatory and information collection review time	Reg reviews-58 days for FY 2005; Info coll reviews-40 days for FY06 (63 for ICs; 2 for nonsubstantive changes)	Provide OIRA Desk officers with application access for 98% of business hours	
2012	2. Customer Intimacy	*	*	% of time system is operationally available excluding scheduled maintenance	95%, established in 2006	Provide system availability to all users for 98% of business hours	
2011	2. Customer Intimacy	*	*	% of time system is operationally available excluding scheduled maintenance	95%, established in 2006	Provide system availability to all users for 98% of business hours	TBD
2010	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	% of time system is operationally available excluding scheduled maintenance	95%, established in 2006	Maintain improved performance level	98%
2009	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	Average OIRA regulatory and information collection review time	Reg reviews-58 days for FY 2005; Info coll reviews-40 days for FY06 (63 for ICs; 2 for nonsubstantive changes)	Maintain improved performance level	Reg reviews: 42 days in Q4 of FY 2009; 44 days for FY 2009. Info collection reviews: 56 days in Q4 of FY 2009 (72 days for ICs; 18 days for nonsubstantive changes). For entire FY 2009: 56 days (73 days for ICs; 19 days for nonsubstantive changes).
2012	2. Customer Intimacy	*	*	Customer satisfaction as indicated by survey of ROCIS public website users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100%	Maintain a minimum user satisfaction score of 60	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					favorable overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)		
2011	2. Customer Intimacy	*	*	Average OIRA regulatory and information collection review time	Reg reviews-58 days for FY 2005; Info coll reviews-40 days for FY06 (63 for ICs; 2 for nonsubstantive changes)	Provide OIRA Desk Officers with application access for 98% of business hours	TBD
2011	2. Customer Intimacy	*	*	Customer satisfaction as indicated by survey of ROCIS public website users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100% favorable overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)	Maintain a minimum satisfaction score of at least 60.	TBD
2010	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	Average OIRA regulatory and information collection review time	Reg reviews-58 days for FY 2005; Info coll reviews-40 days for FY06 (63 for ICs; 2 for nonsubstantive changes)	Maintain improved performance level	Reg reviews: 48 days in Q3 of FY 2010. Info collection reviews: 43 days in Q3 of FY 2010 (58 days for new ICRs and renewals; 15 days for nonsubstantive changes).
2009	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	Customer satisfaction as indicated by survey of ROCIS public website users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100% favorable overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)	Establish usable baseline for the ROCIS public website	Previous baseline measure to be replaced by American Customer Satisfaction Index (ACSI) data on the ROCIS public website, beginning after Q3 of FY 2008. ACSI satisfaction summary = 73-April 2009; 70-May; 64-June; 75-July; 67-Aug.; and 66-Sept.

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	% of agencies submitting regulatory reviews and information collection reviews electronically	0, as of 9/30/2005	At least 95% of agencies, as of 9/30/2009	100% in Q4 of FY 2009
2010	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	Customer satisfaction as indicated by survey of ROCIS public website users	OGP customer survey conducted in June and July 2007. OIRA stakeholders rated 100% favorable overall effectiveness. Agency users rated 100% favorable (71%) or neutral (29%)	Maintain improved performance level	American Customer Satisfaction Index (ACSI) satisfaction summary = 64 (Nov. '09); 66 (Dec. '09); 65 (Jan. '10); 66 (Feb '10); 56 (Mar '10); 64 (Apr '10); 67 (May '10); 62 (Jun '10).
2009	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	% of time system is operationally available excluding scheduled maintenance	95%, established in 2006	Maintain at least 98%	98%
2012	2. Customer Intimacy	*	*	% of agencies submitting regulatory reviews and information collection reviews	0 as of 9/30/2005	Enable 100% of agencies the ability to submit regulatory reviews and information collection reviews electronically	
2010	(Goal valid through 2010) 4. Innovation: Develop new and better ways of conducting business that result in more productive and effective Federal policies and administrative operations.	*	*	% of agencies submitting regulatory reviews and information collection reviews electronically	0, as of 9/30/2005	Maintain improved performance level	100% in Q3 of 2010
2011	2. Customer	*	*	% of agencies	0, as of	Enable 100% of	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Intimacy			submitting regulatory reviews and information collection reviews electronically	9/30/2005	agencies the ability to submit regulatory reviews and information collection reviews electronically	



## Part II: Planning, Acquisition And Performance Information

### Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY2011 DME	*	*	2010-10-01		2011-09-30		0.00%	0.00%
FY 2011 O&M	*	*	2010-10-01		2011-12-31		0.00%	0.00%
Project Admin/Project Admin FY01-06	\$1.2	\$1.0	2001-02-01	2001-02-01	2006-09-29	2006-09-29	100.00%	100.00%
FY2010 O&M	\$1.2	\$0.7	2009-10-01	2009-10-01	2011-03-15		58.00%	58.00%
FY2008 O&M	\$1.0	\$1.0	2007-10-01	2007-10-01	2009-02-28	2009-02-28	100.00%	100.00%
FY2010 DME	\$1.3	\$1.0	2009-10-01	2009-10-01	2010-10-01		81.00%	81.00%
FY2012 DME	*	*	2011-10-01		2012-09-30		0.00%	0.00%
ROCIS II Analysis, Technical Architecture, and Database Design/Definition	\$0.5	\$0.5	2002-02-01	2002-02-01	2002-12-17	2002-12-17	100.00%	100.00%
FY2009 O&M	\$1.0	\$1.0	2008-10-01	2008-10-01	2010-07-31		91.00%	91.00%
FY2012 O&M	*	*	2011-10-01		2012-12-31		0.00%	0.00%
Architectural Review	\$0.1	\$0.0	2004-08-16	2004-08-16	2004-11-16	2004-10-29	100.00%	100.00%
FY2009 DME	\$0.4	\$0.4	2008-10-01	2008-10-01	2010-01-02	2010-01-02	100.00%	100.00%
FY2005 DME (Excluding Phase 2 Development)	\$0.8	\$0.6	2004-10-01	2004-10-01	2005-09-30	2005-09-30	100.00%	100.00%
FY 2006 DME (Excluding Phase 2 Development)	\$0.3	\$0.3	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
ROCIS O&M (FY05-FY07)	\$1.9	\$1.8	2004-10-01	2004-10-01	2008-03-31	2008-03-31	100.00%	100.00%
Design & Devel of ROCIS II Modules	\$4.3	\$7.5	2002-07-01	2002-07-01	2006-08-31	2006-08-31	100.00%	100.00%
FY2008 DME	\$0.5	\$0.5	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Other Direct Costs	\$0.3	\$0.3	2002-02-01	2002-02-12	2004-09-30	2004-09-29	100.00%	100.00%
FY 2007 DME	\$0.7	\$0.7	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%

\* - Indicates data is redacted.